

Applicant or Patentee: John J. Harada, et al.
Serial or Patent No.: 09/516,052
Filed or Issued: March 1, 2000
For: Leaf Cotyledon1 Genes and Their Uses

Docket No. 023070-077630US
U. S. Case No. 97-177-5

JUL 31 2000

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
[37 CFR § 1.9(f) and § 1.27(d)]--NONPROFIT ORGANIZATION

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF ORGANIZATION: The Regents of the University of California
ADDRESS OF ORGANIZATION: 1111 Franklin Street, 12th Floor
Oakland, California 94607-5200

TYPE OF ORGANIZATION

- [X] UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION
[X] TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE [26 USC § 501(a) and § 601(c) (3)]
[] NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OR THE UNITED STATES OF AMERICA

(NAME OF STATE _____)
(CITATION OF STATUTE _____)

- [] WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE [26 USC § 501(a) and § 501(c) (3)] IF LOCATED IN THE UNITED STATES OF AMERICA
[] WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA
(NAME OF STATE _____)
(CITATION OF STATUTE _____)

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR § 1.9(e) for purposes of paying reduced fees under section 41(a) or (b) of Title 35, United States Code with regard to the invention entitled Leafy Cotyledon1 Genes and Their Uses

by inventor(s) John J. Harada, Tamar Lotan, Masa-Aki Ohto, Robert B. Goldberg, Robert L. Fischer, Anhthu Bui, and Raymond Kwong described in

[] the specification filed herewith
[x] application serial no. 09/516,052, filed March 1, 2000
[] Patent no. _____, issued _____

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above identified invention [except for a license to a Federal Agency pursuant to USC § 202 (c) (4)].

If the rights held by the nonprofit organization are not exclusive, each individual, concern, or organization having rights to the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR § 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR § 1.9(d) or a nonprofit organization under 37 CFR § 1.9(e).

*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities (37 CFR § 1.27).

NAME Ceres, Inc
ADDRESS 3007 Malibu Canyon Road, Malibu, CA 90265
[] INDIVIDUAL [x] SMALL BUSINESS CONCERN [] NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. [37 CFR § 1.28(b)]

I hereby declare that all statements made of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like are punishable by fine or imprisonment, or both, under 18 USC § 1001, and may jeopardize the validity of the application, any patent issuing thereon, or any patent which this verified statement is directed.

NAME OF PERSON SIGNING: Linda S. Stevenson
TITLE IN ORGANIZATION: Manager, Patent Prosecution, Office of Technology Transfer
ADDRESS OF PERSON SIGNING: 1111 Franklin Street, 5th Floor
Oakland, California 94607-5200

SIGNATURE Linda S. Stevenson.

DATE July 26, 2000



DECLARATION

As a below named inventor, I declare that:

My residence, post office address and citizenship are as stated below next to my name; I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural inventors are named below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: **LEAFY COTYLEDON1 GENES AND THEIR USES** the specification of which _____ is attached hereto or X was filed on March 1, 2000 as Application No. **09/516,052** and was amended on _____ (if applicable).

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Prior Foreign Application(s)

Country	Application No.	Date of Filing	Priority Claimed Under 35 USC 119

I hereby claim the benefit under Title 35, United States Code § 119(e) of any United States provisional application(s) listed below:

Application No.	Filing Date

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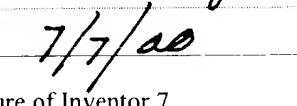
Application No.	Date of Filing	Status
09/193,931	11/17/98	Pending
09/103,478	6/24/98	Pending
09/026,221	2/19/98	Pending
08/804,534	2/21/97	Pending

Full Name of Inventor 1:	Last Name: HARADA	First Name: JOHN	Middle Name or Initial:
Residence & Citizenship:	City: Davis	State/Foreign Country: California	Country of Citizenship: United States
Post Office Address:	Post Office Address: 115 Grande Avenue	City: Davis	State/Country: California Postal Code: 95616

Full Name of Inventor 2:	Last Name: LOTAN	First Name: TAMAR	Middle Name or Initial:
Residence & Citizenship:	City: Jordan Valley	State/Foreign Country: Israel	Country of Citizenship: Israel
Post Office Address:	Post Office Address: Moshava Kinneret	City: Jordan Valley	State/Country: ISRAEL
Postal Code: 15105			
Full Name of Inventor 3:	Last Name: OHTO	First Name: MASA-AKI	Middle Name or Initial:
Residence & Citizenship:	City: Okazaki	State/Foreign Country: Japan	Country of Citizenship: Japan
Post Office Address:	Post Office Address: 2-5-1 Tatsumi-minami, #1-23	City: Okazaki	State/Country: Japan
Postal Code: 444			
Full Name of Inventor 4:	Last Name: GOLDBERG	First Name: ROBERT	Middle Name or Initial: B.
Residence & Citizenship:	City: Topanga	State/Foreign Country: California	Country of Citizenship: United States
Post Office Address:	Post Office Address: 21907 Canon Drive	City: Topanga	State/Country: California
Postal Code: 90290			
Full Name of Inventor 5:	Last Name: FISCHER	First Name: ROBERT	Middle Name or Initial: L.
Residence & Citizenship:	City: El Cerrito	State/Foreign Country: California	Country of Citizenship: United States
Post Office Address:	Post Office Address: 1423 Scott Street	City: El Cerrito	State/Country: California
Postal Code: 94530			
Full Name of Inventor 6:	Last Name: BUI	First Name: ANH THU	Middle Name or Initial:
Residence & Citizenship:	City: Irvine	State/Foreign Country: Arizona	Country of Citizenship: United States
Post Office Address:	Post Office Address: 6 National Place	City: Irvine	State/Country: California
Postal Code: 92602-0703			
Full Name of Inventor 7:	Last Name: KWONG	First Name: RAYMOND	Middle Name or Initial:
Residence & Citizenship:	City: Sacramento	State/Foreign Country: California	Country of Citizenship: United States
Post Office Address:	Post Office Address: 1915 26th Street	City: Sacramento	State/Country: California
Postal Code: 95816-7303			

I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Signature of Inventor 1	Signature of Inventor 2	Signature of Inventor 3
JOHN HARADA	TAMAR LOTAN	MASA-AKI OHTO
Date	Date	Date

Signature of Inventor 4  ROBERT B. GOLDBERG	Signature of Inventor 5  ROBERT L. FISCHER	Signature of Inventor 6  ANH THU BUI
Date 7/7/00		Date 7/7/00
Signature of Inventor 7  RAYMOND KWONG		
Date		

SF 1072510 v1



DECLARATION

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My residence, post office address and citizenship are as stated below next to my name; I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural inventors are named below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: **LEAFY COTYLEDON1 GENES AND THEIR USES** the specification of which _____ is attached hereto or X was filed on March 1, 2000 as Application No. **09/516,052** and was amended on _____ (if applicable).

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Country	Application No.	Date of Filing	Priority Claimed Under 35 USC 119

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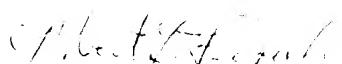
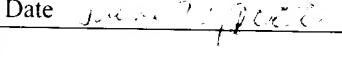
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Post Office Address:	Post Office Address: 115 Grande Avenue	City: Davis	State/Country: California Postal Code: 95616

Full Name of Inventor 2:	Last Name: LOTAN	First Name: TAMAR	Middle Name or Initial:
Residence & Citizenship:	City: Jordan Valley	State/Foreign Country: Israel	Country of Citizenship: Israel
Post Office Address:	Post Office Address: Moshava Kinneret	City: Jordan Valley	State/Country: ISRAEL Postal Code: 15105
Full Name of Inventor 3:	Last Name: OHTO	First Name: MASA-AKI	Middle Name or Initial:
Residence & Citizenship:	City: Okazaki	State/Foreign Country: Japan	Country of Citizenship: Japan
Post Office Address:	Post Office Address: 2-5-1 Tatsumi-minami, #1-23	City: Okazaki	State/Country: Japan Postal Code: 444
Full Name of Inventor 4:	Last Name: GOLDBERG	First Name: ROBERT	Middle Name or Initial: B.
Residence & Citizenship:	City: Topanga	State/Foreign Country: California	Country of Citizenship: United States
Post Office Address:	Post Office Address: 21907 Canon Drive	City: Topanga	State/Country: California Postal Code: 90290
Full Name of Inventor 5:	Last Name: FISCHER	First Name: ROBERT	Middle Name or Initial: L.
Residence & Citizenship:	City: El Cerrito	State/Foreign Country: California	Country of Citizenship: United States
Post Office Address:	Post Office Address: 1423 Scott Street	City: El Cerrito	State/Country: California Postal Code: 94530
Full Name of Inventor 6:	Last Name: BUI	First Name: ANHSTRU	Middle Name or Initial:
Residence & Citizenship:	City: Irvine	State/Foreign Country: Arizona	Country of Citizenship: United States
Post Office Address:	Post Office Address: 6 National Place	City: Irvine	State/Country: California Postal Code: 92602-0703
Full Name of Inventor 7:	Last Name: KWONG	First Name: RAYMOND	Middle Name or Initial:
Residence & Citizenship:	City: Sacramento	State/Foreign Country: California	Country of Citizenship: United States
Post Office Address:	Post Office Address: 1915 26th Street	City: Sacramento	State/Country: California Postal Code: 95816-7303

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Signature of Inventor 1	Signature of Inventor 2	Signature of Inventor 3
JOHN HARADA	TAMAR LOTAN	MASA-AKI OHTO
Date	Date	Date

Signature of Inventor 4	Signature of Inventor 5	Signature of Inventor 6
ROBERT B. GOLDBERG		ANH THU BUI
Date	Date 	Date
Signature of Inventor 7		
RAYMOND KWONG		
Date		

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Post Office Address:	Post Office Address: 115 Grande Avenue	City: Davis	State/Country: California	Postal Code: 95616

Full Name of Inventor 2:	Last Name: LOTAN	First Name: TAMAR	Middle Name or Initial:
Residence & Citizenship:	City: Jordan Valley	State/Foreign Country: Israel	Country of Citizenship: Israel
Post Office Address:	Post Office Address: Moshava Kinneret	City: Jordan Valley	State/Country: ISRAEL Postal Code: 15105
Full Name of Inventor 3:	Last Name: OHTO	First Name: MASA-AKI	Middle Name or Initial:
Residence & Citizenship:	City: Okazaki	State/Foreign Country: Japan	Country of Citizenship: Japan
Post Office Address:	Post Office Address: 2-5-1 Tatsumi-minami, #1-23	City: Okazaki	State/Country: Japan Postal Code: 444
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Residence & Citizenship:	City: Topanga	State/Foreign Country: California	Country of Citizenship: United States
Post Office Address:	Post Office Address: 21907 Canon Drive	City: Topanga	State/Country: California Postal Code: 90290
Full Name of Inventor 5:	Last Name: FISCHER	First Name: ROBERT	Middle Name or Initial: L.
Residence & Citizenship:	City: El Cerrito	State/Foreign Country: California	Country of Citizenship: United States
Post Office Address:	Post Office Address: 1423 Scott Street	City: El Cerrito	State/Country: California Postal Code: 94530
Full Name of Inventor 6:	Last Name: BUI	First Name: ANHTHU	Middle Name or Initial:
Residence & Citizenship:	City: Irvine	State/Foreign Country: Arizona	Country of Citizenship: United States
Post Office Address:	Post Office Address: 6 National Place	City: Irvine	State/Country: California Postal Code: 92602-0703
Full Name of Inventor 7:	Last Name: KWONG	First Name: RAYMOND	Middle Name or Initial:
Residence & Citizenship:	City: Sacramento	State/Foreign Country: California	Country of Citizenship: United States
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Signature of Inventor 1	Signature of Inventor 2	Signature of Inventor 3
JOHN HARADA	TAMAR LOTAN	MASA-AKI OHTO
Date	Date 3/2/01	Date

Signature of Inventor 4	Signature of Inventor 5	Signature of Inventor 6
ROBERT B. GOLDBERG	ROBERT L. FISCHER	ANH THU BUI
Date	Date	Date
Signature of Inventor 7		
RAYMOND KWONG		
Date		

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Full Name of Inventor 2:	Last Name: LOTAN	First Name: TAMAR	Middle Name or Initial:
Residence & Citizenship:	City: Jordan Valley	State/Foreign Country: Israel	Country of Citizenship: Israel
Post Office Address:	Post Office Address: Moshava Kinneret	City: Jordan Valley	State/Country: ISRAEL Postal Code: 15105
Full Name of Inventor 3:	Last Name: OHTO	First Name: MASA-AKI	Middle Name or Initial:
Residence & Citizenship:	City: Okazaki	State/Foreign Country: Japan	Country of Citizenship: Japan
Post Office Address:	Post Office Address: 2-5-1 Tatsumi-minami, #1-23	City: Okazaki	State/Country: Japan Postal Code: 444
Full Name of Inventor 4:	Last Name: GOLDBERG	First Name ROBERT	Middle Name or Initial: B.
Residence & Citizenship:	City: Topanga	State/Foreign Country: California	Country of Citizenship: United States
Post Office Address:	Post Office Address: 21907 Canon Drive	City: Topanga	State/Country: California Postal Code: 90290
Full Name of Inventor 5:	Last Name: FISCHER	First Name ROBERT	Middle Name or Initial: L.
Residence & Citizenship:	City: El Cerrito	State/Foreign Country: California	Country of Citizenship: United States
Post Office Address:	Post Office Address: 1423 Scott Street	City: El Cerrito	State/Country: California Postal Code: 94530
Full Name of Inventor 6:	Last Name: BUI	First Name ANHTHU	Middle Name or Initial:
Residence & Citizenship:	City: Irvine	State/Foreign Country: Arizona	Country of Citizenship: United States
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Full Name of Inventor 7:	Last Name: KWONG	First Name: RAYMOND	Middle Name or Initial:
Residence & Citizenship:	City: Sacramento	State/Foreign Country: California	Country of Citizenship: United States
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Signature of Inventor 1  JOHN HARADA	Signature of Inventor 2 <hr/> TAMAR LOTAN	Signature of Inventor 3 <hr/> MASA-AKI OHTO
Date 6/23/00	Date	Date

Signature of Inventor 4	Signature of Inventor 5	Signature of Inventor 6
ROBERT B. GOLDBERG	ROBERT L. FISCHER	ANH THU BUI
Date		Date
Signature of Inventor 7  RAYMOND KWONG		
Date 6/23/00		

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Residence & Citizenship:	City: Sacramento	State/Foreign Country: California	Country of Citizenship: United States	
Post Office Address:	Post Office Address: 1915 26th Street	City: Sacramento	State/Country: California	Postal Code: 95816-7303

I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Signature of Inventor 1 <hr/> JOHN HARADA	Signature of Inventor 2 <hr/> TAMAR LOTAN	Signature of Inventor 3 <hr/> MASA-AKI OHTO
Date	Date	Date <i>Tuey 4, 2022</i>

Signature of Inventor 4	Signature of Inventor 5	Signature of Inventor 6
ROBERT B. GOLDBERG	ROBERT L. FISCHER	ANH THU BUI
Date	Date	Date
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Date		

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